

**Maryland Department of Housing and Community Development**  
**Community Services Block Grant (CSBG)**  
**FFY21-FFY22 Model State Plan Draft**

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## Section 1

### CSBG Administrative Information

NOTE: DRAFT RESPONSES ARE SHOWN IN **BLUE** THROUGHOUT THIS DOCUMENT.

1.1. Identify whether this is a one-year or a two-year plan. ☐ One-Year ☒ Two-Year

1.1a. Provide the federal fiscal years this plan covers: Year One: 2021 Year Two 2022

**GUIDANCE:** If a state indicates “One-Year” under 1.1., they will only have to provide a response for “Year One”

1.2. **Lead Agency:** Update the following information in relation to the lead agency designated to administer CSBG in the state, as required by Section 676(a) of the CSBG Act. Information should reflect the responses provided in the Application for Federal Assistance, SF-424M.

Has information in regard to the state lead agency changed since the last submission of the state plan? ☐ Yes ☒ No

If yes, provide the date of change and select the fields that have been updated **[Date Picker and Check all the apply]**

- |  |  |  |
|--|--|--|
| <input type="checkbox"/> Lead Agency         | <input type="checkbox"/> Department Type | <input type="checkbox"/> Department Name |
| <input type="checkbox"/> Authorized Official | <input type="checkbox"/> Street Address  | <input type="checkbox"/> City            |
| <input type="checkbox"/> Zip Code            | <input type="checkbox"/> Office Number   | <input type="checkbox"/> Fax Number      |
| <input type="checkbox"/> Email Address       | <input type="checkbox"/> Website         |  |

1.2a. Lead agency **[Narrative, 150 Characters]**

**GUIDANCE:** This should only include the exact name of the lead agency and an acronym (as applicable).

**EXAMPLE:** Office of Community Services (OCS)

1.2b. Cabinet or administrative department of this lead agency **[Check One and narrative where applicable]**

- ☐ Community Affairs Department
- ☐ Community Services Department
- ☐ Governor’s Office
- ☐ Health Department
- ☒ Housing Department
- ☐ Human Services Department
- ☐ Social Services Department
- ☐ Other, describe: **[Narrative, 100 characters]**

1.2c. **Cabinet or Administrative Department Name:** Provide the name of the cabinet or administrative department of the CSBG authorized official Maryland

Department of Housing and Community Development]

- 1.2d.** Authorized official of the lead agency. The authorized official could be the director, secretary, commissioner etc. as assigned in the designation letter (attached under item 1.3.). The authorized official is the person indicated as authorized representative on the SF-424M. **[Narrative, 50 Characters each]**

Name Kenneth C. Holt Title Secretary

- 1.2e.** Street Address [7800 Harkins Road]
- 1.2f.** City [Lanham]
- 1.2g.** State [MD]
- 1.2h.** Zip Code [20706]
- 1.2i.** Work Telephone Number and Extension (if applicable) [301-429-7525]
- 1.2j.** Fax Number [410-558-6527]
- 1.2k.** Email Address [Kenneth.holt@maryland.gov]
- 1.2l.** Lead Agency Website [www.dhcd.maryland.gov]

**Note:** Item 1.2. pre-populates the Annual Report, Module 1, Item A.1.

- 1.3. Designation Letter:** Attach the state's official CSBG designation letter. A new designation letter is required if the chief executive officer of the state and/or designated agency has changed. **[Attach a document.]**

**GUIDANCE:** The designation letter should be updated whenever there is a change to the designee.

**Instructional Note:** The letter should be from the chief executive officer of the state and include, at minimum, the designated state CSBG lead agency and title of the authorized official of the lead agency who is to administer the CSBG grant award.

- 1.4. CSBG Point of Contact:** Provide the following information in relation to the designated state CSBG point of contact. The state CSBG point of contact should be the person that will be the main point of contact for CSBG within the state.

Has information regarding to the state point of contact changed since the last submission of the state plan? ☐ Yes ☒ No

If yes, provide the date of change and select the fields that have been updated **[Date Picker and Check all the apply]**

- |  |   |   |
|--|---|---|
| <input type="checkbox"/> Agency Name   | <input type="checkbox"/> Point of Contact | <input type="checkbox"/> Street Address |
| <input type="checkbox"/> City          | <input type="checkbox"/> State            | <input type="checkbox"/> Zip Code       |
| <input type="checkbox"/> Office Number | <input type="checkbox"/> Fax Number       | <input type="checkbox"/> Email Address  |
| <input type="checkbox"/> Website       |   |   |

- 1.4a.** Agency Name **[Narrative, 150 characters]**

**1.4b.** Point of Contact Name **[Narrative, 50 characters each]**

Name \_\_\_\_\_ Title \_\_\_\_\_

**1.4c.** Street Address **[Narrative, 200 characters]**

**1.4d.** City **[Narrative, 50 characters]**

**1.4e.** State **[Dropdown]**

**1.4f.** Zip Code **[Numerical Response, 5 digits]**

**1.4g.** Office Telephone Number **[Numerical Response, 10 – 15 digits to include extensions]**

**1.4h.** Fax Number **[Numerical Response, 10 digits]**

**1.4i.** Email Address **[Narrative, 150 characters]**

**1.4j.** Agency Website **[Narrative, 200 characters]**

**1.5.** Provide the following information in relation to the State Community Action Association.

**GUIDANCE:** Under this question, please respond yes and provide the information if there is an entity or organization that serves in the capacity of a state community action association that is located within your state, whether voluntarily or contractually. If the entity that serves as the state community action association is located outside of the state, or if there is only a single eligible entity within the state that also performs the functions of a Community Action Association, please answer no to this question.

There is currently a state Community Action Association within the state. ☒ Yes ☐ No

Has information in regards to the state Community Action Association changed since the last submission of the state plan? ☐ Yes ☒ No

If yes, provide the date of change and select the fields that have been updated. **[Date Picker and Check all the apply]**

☐ Agency Name

☐ Executive Director

☐ Street Address

☐ City

☐ State

☐ Zip Code

☐ Office Number

☐ Fax Number

☐ Email Address

☐ Website

☐ RPIC Lead

**1.5a.** Agency name **[Narrative, 150 characters]**

**1.5b.** Executive Director or Point of Contact **[Narrative, 50 characters each]**

Name \_\_\_\_\_ Title \_\_\_\_\_

**1.5c.** Street Address **[Narrative, 200 characters]**

**1.5d.** City **[Narrative, 50 characters]**

**1.5e.** State **[Dropdown]**

- 1.5f.** Zip Code [**Numerical Response, 5 digits**]
- 1.5g.** Telephone Number [**Numerical Response, 10 – 15 digits to include extensions**]
- 1.5h.** Fax Number [**Numerical Response, 10 digits**]
- 1.5i.** Email Address [**Narrative, 150 characters**]
- 1.5j.** State Association Website [**Narrative, 200 characters**]
- 1.5k.** State Association currently serves as the Regional Performance Innovation Consortia (RPIC) lead ☒ Yes ☐ No

## Section 2

### State Legislation and Regulation

- 2.1. **CSBG State Legislation:** State has a statute authorizing CSBG. ☒ Yes ☐ No
- 2.2. **CSBG State Regulation:** State has regulations for CSBG. ☐ Yes ☒ No
- 2.3. **Legislation/Regulation Document:** Attach the legislation and/or regulations or provide a hyperlink(s) to the documents indicated under Items 2.1. and/or Item 2.2. [\[Attachment\]](#)

**GUIDANCE:** The labeling of all attachments should include the question number for which the document provides supplementary information, the question heading, and the type of document provided. As an example, a state statutory document could be labeled as:

2.3. Legislation/Regulation Document, Washington D.C. Statute

- 2.4. **State Authority:** Select a response for each of the following items about the state statute and/or regulations authorizing CSBG:
- 2.4a. **Authorizing Legislation:** State legislature enacts authorizing legislation or amendments to an existing authorizing statute last federal fiscal year. ☐ Yes ☒ No
- 2.4b. **Regulation Amendments:** State established or amended regulations for CSBG last federal fiscal year. ☐ Yes ☒ No
- 2.4c. **Designation:** State statutory or regulatory authority designates the bureau, division, or office in the state government that is to be the state administering agency. ☒ Yes ☐ No

## Section 3

### State Plan Development and Statewide Goals

**3.1. CSBG Lead Agency Mission and Responsibilities:** Briefly describe the mission and responsibilities of the state agency that serves as the CSBG lead agency. [The Maryland Department of Housing and Community Development works with partners to finance housing opportunities and revitalize great places for Maryland citizens to live, work, and prosper. The mission of the Department's Division of Neighborhood Revitalization is to revitalize and strengthen Maryland communities by focusing on local needs, defining opportunity and building on assets through efficient and caring teamwork.]

**3.2. State Plan Goals:** Describe the state's CSBG-specific goals for state administration of CSBG under this State Plan. [The Office of Community Services Programs (OCS) within the Division of Neighborhood Revitalization, is responsible for the administration of the CSBG program. OCS will: 1) meet all federal and state requirements related to the administration of CSBG; 2) support and build the capacity of the seventeen Eligible Entities in Maryland so they more effectively meet the letter and intent of the CSBG Act; 3) facilitate linkages between Eligible Entities and other State and local agencies serving Maryland's most vulnerable populations; and 4) strengthen and improve communication between the State Lead Agency and Eligible Entities in Maryland.]

**GUIDANCE:** States should take into account feedback from OCS, their eligible entities, and the ACSI survey completed by eligible entities when creating their state plan goals.

**Instructional Note:** For examples of "goals," see State Accountability Measure 1Sa(i).

**Note:** This information is associated with State Accountability Measure 1Sa(i) and pre-populates the state's Annual Report, Module 1, Item B.1.

**3.3. State Plan Development:** Indicate the information and input the state accessed to develop this State Plan.

**3.3a. Analysis of state-level tools [Check all that applies and narrative where applicable]**

- ☒ State Performance Indicators and/or National Performance Indicators (NPIs)
- ☒ U.S. Census data
- ☒ State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- ☒ Monitoring Visits/Assessments
- ☐ Tools not identified above (specify) [Narrative, 500 characters]

**3.3b. Analysis of local-level tools [Check all that applies and narrative where applicable]**

- ☒ Eligible entity community needs assessments
- ☒ Eligible entity community action plans
- ☐ Public Hearings/Workshops
- ☒ Tools not identified above (e.g., state required reports) [The State Lead

Agency conducted listening sessions with Eligible Entities.]

**3.3c. Consultation with [Check all that applies and narrative where applicable]**

- ☒ Eligible entities (e.g., meetings, conferences, webinars; not including the public hearing)
- ☒ State Association
- ☐ National Association for State Community Services Programs (NASCSP)
- ☐ Community Action Partnership (The Partnership)
- ☐ Community Action Program Legal Services (CAPLAW)
- ☐ CSBG Tribal Training and Technical Assistance (T/TA) provider
- ☐ Regional Performance Innovation Consortium (RPIC)
- ☐ Association for Nationally Certified ROMA Trainers (ANCRT)
- ☐ Federal CSBG Office
- ☐ Organizations not identified above (specify) **[Narrative, 500 characters]**

**3.4. Eligible Entity Involvement**

**3.4a.** Describe the specific steps the state took in developing the State Plan to involve the eligible entities. [On May 28 and June 3, 2020, the State Lead Agency held listening sessions via webinar for Eligible Entities to provide feedback on each section of the State Plan. On June 17, 2020 a draft State Plan was provided to Eligible Entities for review and feedback. The Plan was also posted on the State Lead Agency's website to make it available to the general public. An announcement and link to the draft Plan was published in the June 22 issue of the Maryland Register. This announcement included the date of the public hearing on the Plan and formally began the 30-day public comment period. The public hearing was held on July 8, 2020. Interested parties were able to participate in the hearing remotely via webinar.]

**Note:** This information is associated with State Accountability Measures 1Sa(ii) and may pre-populate the state's annual report form.

**3.4b. Performance Management Adjustment:** Describe how the state has adjusted its State Plan development procedures under this State Plan, as compared to previous plans, in order to 1) encourage eligible entity participation and 2) ensure the State Plan reflects input from eligible entities? Any adjustment should be based on the state's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. [The COVID-19 public health emergency mandated closure of public buildings and limited the size of public gatherings. The State Lead Agency, therefore, conducted listening sessions and a public hearing remotely via webinar. Announcements about each session and the hearing were shared in advance of the dates when they occurred so that Eligible Entities had opportunities to prepare their comments and provide feedback.]

**Note:** This information is associated with State Accountability Measures 1Sb(i) and (ii) and pre-populate the Annual Report, Module 1, Item B.1.



**3.5. Eligible Entity Overall Satisfaction:** Provide the state's target for eligible entity Overall Satisfaction during the performance period. Year One: [75](#); Year Two: [77](#)

**Instructional Note:** The state's target score will indicate improvement or maintenance of the states' Overall Satisfaction score from the most recent American Customer Survey Index (ACSI) survey of the state's eligible entities.

**Note:** Item 3.5 is associated with State Accountability Measure 8S and may pre-populate the state's annual report form.

**GUIDANCE:** The targets reported here should match the future target set in the Annual Report, Section B, Table B.2.

**GUIDANCE:** Review the [ACSI IM](#) about setting targets for your eligible entity overall satisfaction that are realistic, reasonable, attainable, and possible.

## Section 4

### CSBG Hearing Requirements

**4.1. Public Inspection:** Describe the steps taken by the state to disseminate this State Plan to the public for review and comments prior to the public hearing, as required under Section 676(e)(2) of the Act. [The State placed a notice in the June 22 issue of the Maryland Register announcing the public hearing on July 8, 2020 and officially starting the 30-day comment period. The notice included a link to the draft State Plan on the Lead Agency's website.]

**GUIDANCE:** Under this question, detail how the state provided the State Plan to the public, including providing sufficient time (ideally no fewer than 30 days) for the public to provide feedback prior to the public hearing. Distribution to the public should include distribution directly to the eligible entities (e.g. via email or publication on a public website with specific notification to the eligible entities) in the state as well as any other interested parties.

**4.2. Public Notice/Hearing:** Describe how the state ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under 676(a)(2)(B) of the CSBG Act. [On June 17, 2020, the draft Plan was posted on an external page of the Lead Agency's website. Information about the July 8, 2020 public hearing was also posted on the website at that time. Additionally, on June 17, 2020, Eligible Entities were provided with a copy of the draft Plan and information about the public hearing. The State Lead Agency placed a notice in the June 22, 2020 issue of the Maryland Register announcing the July 8, 2020 public hearing.]

**4.3. Public and Legislative Hearings:** In the table below, specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act.

**Instructional Note: A public hearing is required for each new submission of the State Plan.** The date(s) for the public hearing(s) must have occurred in the year prior to the first federal fiscal year covered by this plan. Legislative hearings are held at least every three years and must have occurred within the last three years prior to the first federal fiscal year covered by this plan.

Date	Location	Type of Hearing <i>[Select an option]</i>	If a Combined Hearing was held confirm that the public was invited.
[March 2, 2020]	[Maryland General Assembly - House Appropriations Committee Health and Human Resources Subcommittee]	<input type="radio"/> Public <input checked="" type="radio"/> Legislative <input type="radio"/> Combined	<input type="checkbox"/>
[July 8, 2020]	[Maryland Department of Housing and Community Development]	<input checked="" type="radio"/> Public <input type="radio"/> Legislative <input type="radio"/> Combined	

**GUIDANCE:** A combined hearing refers to having one joint public and legislative hearing.

- 4.4.** Attach supporting documentation or a hyperlink for the public and legislative hearings.  
[\[https://dhcd.maryland.gov/Communities/Pages/programs/CSBG.aspx\]](https://dhcd.maryland.gov/Communities/Pages/programs/CSBG.aspx)

**GUIDANCE:** Supporting documentation may include, but is not limited to, agendas, sign-in sheets, transcripts, and notices/advertisements of the hearings. All attachments should include the question number, question heading, type of document and the date of the hearing/meeting (as applicable).

**EXAMPLE:** An agenda would be named: 4.4. Public and Legislative Hearings Agenda 062117

## Section 5

### CSBG Eligible Entities

**5.1. CSBG Eligible Entities:** In the table below, indicate whether each eligible entity in the state is public or private, the type(s) of entity, and the geographical area served by the entity.

CSBG Eligible Entity	Geographical Area Served (by county) [Provide all counties]	Public or Nonprofit	Type of Entity (choose all that apply)
Allegany County Human Resources Development Commission Inc.	Allegany County	Nonprofit	Community Action Agency
Anne Arundel County Community Action Agency Inc.	Anne Arundel County	Nonprofit	Community Action Agency
Baltimore City Community Action Partnership	Baltimore City	Public	Community Action Agency
Community Action Council of Howard County Maryland	Howard County	Nonprofit	Community Action Agency
Community Assistance Network, Inc.	Baltimore County	Nonprofit	Community Action Agency
Delmarva Community Services Inc.	Dorchester County	Nonprofit	Community Action Agency
Frederick Community Action Agency	Frederick County	Public	Community Action Agency
Garrett County Community Action Committee, Inc.	Garrett County	Nonprofit	Community Action Agency
Harford Community Action Agency, Inc.	Harford County	Nonprofit	Community Action Agency
Human Services Programs of Carroll County, Inc.	Carroll County	Nonprofit	Community Action Agency
Maryland Rural Development Corporation	Caroline, Cecil, & Kent Counties	Nonprofit	Community Action Agency
Montgomery County Community Action Agency	Montgomery County	Public	Community Action Agency
Neighborhood Services Center, Inc.	Talbot County	Nonprofit	Community Action Agency
Shore Up Inc.	Queen Anne's, Somerset, Wicomico, Worcester Counties	Nonprofit	Community Action Agency
Southern Maryland Tri-County Community Action Committee Inc.	Calvert, Charles, St. Mary's Counties	Nonprofit	Community Action Agency
United Communities Against Poverty, Inc.	Prince George's County	Nonprofit	Community Action Agency

CSBG Eligible Entity	Geographical Area Served (by county) [Provide all counties]	Public or Nonprofit	Type of Entity (choose all that apply)
Washington County Community Action Council	Washington County	Nonprofit	Community Action Agency

**Note:** Table 5.1. pre-populates the Annual Report, Module 1, Table C.1.

**GUIDANCE:** Under *Type of Entity*, select more than one type by holding down the CTRL key while making selections.

**Note:** Whether nonprofit or public, entities that receive CSBG funds are generally considered to be Community Action Agencies for the purpose of administering CSBG. The only specific exceptions outlined in the CSBG Act are Limited Purpose Agencies, Migrant and Seasonal Farmworker organizations, and Tribes and Tribal Organizations

**Instructional Note: Limited Purpose Agency** refers to an eligible entity that was designated as a limited purpose agency under Title II of the Economic Opportunity Act of 1964 for fiscal year 1981, that served the general purposes of a community action agency under Title II of the Economic Opportunity Act, that did not lose its designation as a limited purpose agency under Title II of the Economic Opportunity Act as a result of failure to comply with that Act and that has not lost its designation as an eligible entity under the CSBG Act.

**Instructional Note: 90 percent funds** are the funds a state provides to eligible entities to carry out the purposes of the CSBG Act, as described under Section 675C of the CSBG Act. A state must provide “no less than 90 percent” of their CSBG allocation, under Section 675B, to the eligible entities.

**5.2.** Total number of CSBG eligible entities: [17](#) [This will automatically update based on Table 5.1.]

**5.3. Changes to Eligible Entities List:** Within the tables below, describe any changes that have occurred to the Eligible Entities within the state since the last federal fiscal Year (FFY), as applicable.

One or more of the following changes were made to the eligible entity list: **[Check all that apply]**.

- ☐ Designation and/or Re-Designation
- ☐ De-designations and/or Voluntary Relinquishments
- ☐ Mergers
- ☒ No Changes to Eligible Entities List

**GUIDANCE:** The following three questions will only need to be answered based on your response to 5.3.

**5.3a. Designation and Re-Designation:** Identify any new entities that have been designated as eligible entities, as defined under Section 676A of the Act, since the last federal fiscal year. Include any eligible entities designated to serve an area previously not served by CSBG as well as any entities designated to replace another eligible entity that was terminated (de-designated) or that voluntarily relinquished its status as a CSBG eligible entity.

CSBG Eligible Entity	Type	Start Date	Geographical Area Served
[Narrative, 150 characters]	[Dropdown: <ul style="list-style-type: none"> <li>• Designation</li> <li>• Permanent Re-Designation</li> <li>• Interim Re-Designation]</li> </ul>	[Date Picker]	[Narrative, 550 characters]
<b>ADD-A-ROW FUNCTION.</b> Note: States will be able to add a row as needed.			

**GUIDANCE:** A designation refers to an entity that was not receiving funding in the previous federal fiscal year(s) and/or was not included in the previous CSBG State Plan. Re-designation refers to an entity that is already designated/receiving funds but is now receiving funds to serve an additional geographic area previously served by another entity. A permanent re-designation **must be conducted consistent with procedures outlined in Section 676A of the CSBG Act.** An interim re-designation may be noted when an entity has been identified to provide services after a voluntary relinquishment pending official designation of a permanent entity consistent with the requirements of Section 676A. See CSBG Act 676A, *Designation and Re-designation...*, for more information.

- 5.3b. De-Designations and Voluntary Relinquishments:** Identify any entities that are no longer receiving CSBG funding. Include any eligible entities have been terminated (de-designated) as defined under Section 676(c) and Section 676C of the Act, or voluntarily relinquished their CSBG eligible entity status since the last federal fiscal year.

CSBG Eligible Entity	Reason
[Narrative, 150 characters]	[Dropdown: • Termination/De-designation • Voluntary Relinquished]
ADD-A-ROW FUNCTION. Note: States will be able to add a row as needed.	

- 5.3c. Mergers:** In the table below, provide information about any mergers or other combinations of two or more eligible entities that were each listed in the prior year state plan.

Original CSBG Eligible Entities	Surviving CSBG Eligible Entity	New Name (as applicable)	DUNS No.
[Narrative, 500 characters]  <i>List and number all entities involved.</i>	[Narrative, 150 characters]	[Narrative, 150 characters]	[Narrative, 150 characters]
ADD-A-ROW FUNCTION. Note: States will be able to add a row as needed.			

**GUIDANCE:** This question refers to the merger of two or more existing CSBG eligible entities only. If an organization that was not previously a CSBG eligible entity merges is the surviving organization in a merger with a CSBG eligible entity, the new entity should be listed under 5.3a. as a new designation, while the previously funded CSBG eligible entity should be included under 5.3b.

## Section 6

### Organizational Standards for Eligible Entities

**Note:** Reference IM 138, *State Establishment of Organizational Standards for CSBG Eligible Entities*, for more information on Organizational Standards. Click [HERE](#) for IM 138.

**6.1. Choice of Standards:** Confirm whether the state will implement the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138) or an alternative set during the federal fiscal year(s) of this planning period. **[Select one]**

- ☒ [COE CSBG Organizational Standards](#)
- ☐ Modified version of COE CSBG Organizational Standards
- ☐ Alternative set of organizational standards

**Note:** Item 6.1. pre-populates the Annual Report, Module 1, Item D.1.

**6.1a. Modified Organizational Standards:** In the case that the state is requesting to use modified COE-developed organizational standards, provide the proposed modification for the FFY of this planning period including the rationale.  
**[Narrative, 2500 characters]**

**6.1b. Alternative Organizational Standards:** If using an alternative set of organizational standards, attach the complete list of alternative organizational standards. **[Attachment (as applicable)]**

**6.1c. Alternative Organizational Standards:** If using an alternative set of organizational standards: 1) provide any changes from the last set provided during the previous State Plan submission; 2) describe the reasons for using alternative standards; and 3) describe how they are at least as rigorous as the COE- developed standards.

☒ [There were no changes from the previous State Plan submission](#) **[Narrative, 2500 characters if not selected]**

Provide reason for using alternative standards **[Narrative, 2500 characters]**

Describe rigor compared to COE-developed Standards **[Narrative, 2500 characters]**

**6.2. Implementation:** Check the box that best describes how the state officially adopted organizational standards for eligible entities in the state in a manner consistent with the state's administrative procedures act. If "Other" is selected, provide a timeline and additional information, as necessary. **[Check all that applies and narrative (as applicable)]**

- ☐ Regulation
- ☒ [Policy](#)
- ☒ [Contracts with eligible entities](#)
- ☐ Other, describe: **[Narrative, 5000 characters]**



**6.3. Organizational Standards Assessment:** Describe how the state will assess eligible entities against organizational standards this federal fiscal year(s). **[Check all that apply]**

- ☐ Peer-to-peer review (with validation by the state or state-authorized third party)
- ☒ Self-assessment (with validation by the state or state-authorized third party)
- ☐ Self-assessment/peer review with state risk analysis
- ☐ State-authorized third-party validation
- ☒ Regular, on-site CSBG monitoring
- ☐ Other

**6.3a. Assessment Process:** Describe the planned assessment process. [On an annual basis, Eligible Entities complete Organizational Standards Self-Assessments which are submitted to the State Lead Agency and reviewed by CSBG program staff. An overview of trends is presented annually to Eligible Entities during the State Association’s annual conference. Additionally, CSBG program staff review supporting documentation during desk reviews and on-site monitoring.]

**GUIDANCE:** Descriptions should also include improvements to the process made since the previous year including any new processes to increase efficiency or consistency of assessments.

**6.4. Eligible Entity Exemptions:** Will the state make exceptions in applying the organizational standards for certain eligible entities due to special circumstances or organizational characteristics (as described in IM 138)? ○ Yes ● No

**GUIDANCE:** The following question will only need to be answered based on your response to 6.4.

**6.4a.** Provide the specific eligible entities the state will exempt from meeting organizational standards and provide a description and a justification for each exemption. Total Number of Exempt Entities: **[Auto – calculated]**

CSBG Eligible Entity	Exemption Provided	Description/Justification
[Narrative, 150 characters]	[Select Yes or No]	[If Yes is selected, provide a narrative, 2500 characters]
<b>ADD a ROW function</b> Note: Rows will be able to be added for each additional exception.		

**6.5. Performance Target:** Provide the percentage of eligible entities that the state expects to meet all the state-adopted organizational standards for the FFY(s) of this planning period. **[Insert a percentage]** Year One: [70%](#) Year Two: [80%](#)

**Note:** Item 6.5. is associated with State Accountability Measures 6Sa and pre-populate the Annual Report, Module 1, Table D.2.

**GUIDANCE:** Prior to setting the target, states should review [IM 138](#), review previous performance, and collaborate with the eligible entities and state association in identifying targets.

## SECTION 7

### State Use of Funds

#### Eligible Entity Allocation (90 Percent Funds) [Section 675C(a) of the CSBG Act]

**7.1. Formula:** Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities. **[Check one]**

- ☐ Historic
- ☒ Base + Formula
- ☐ Formula Alone
- ☐ Formula with Variables
- ☐ Hold Harmless + Formula
- ☐ Other

**7.1a. Formula Description:** Describe the current practice for allocating CSBG funds to eligible entities. [\[Using FY1994 allocations in comparison to FY 2014 allocations award levels are adjusted using poverty, unemployment, and rural factors.\]](#)

**7.1b. Statute:** Does a state statutory or regulatory authority specify the formula for allocating “not less than 90 percent” funds among eligible entities? ☐ Yes ☒ No

**7.2. Planned Allocation:** Specify the percentage of your CSBG planned allocation that will be funded to eligible entities and “not less than 90 percent funds” as described under Section 675C(a) of the CSBG Act. In the table, provide the planned allocation for each eligible entity receiving funds for the fiscal year(s) covered by this plan.

Year One: [90%](#) Year Two: [90%](#)

Planned CSBG 90 Percent Funds – Year One	
CSBG Eligible Entity	Funding Amount \$
Allegany County Human Resources Development Commission Inc.	\$294,289.00
Anne Arundel County Community Action Agency Inc.	\$456,196.00
Baltimore City Community Action Partnership	\$2,519,079.00
Community Action Council of Howard County Maryland	\$238,724.00
Community Assistance Network, Inc.	\$742,533.00
Delmarva Community Services Inc.	\$342,227.00
Frederick Community Action Agency	\$267,102.00
Garrett County Community Action Committee, Inc.	\$313,329.00
Harford Community Action Agency, Inc.	\$309,357.00
Human Services Programs of Carroll County, Inc.	\$263,727.00
Maryland Rural Development Corporation	\$323,688.00

Planned CSBG 90 Percent Funds – Year One	
CSBG Eligible Entity	Funding Amount \$
Montgomery County Community Action Agency	\$632,358.00
Neighborhood Services Center, Inc.	\$314,310.00
Shore Up Inc.	\$520,602.00
Southern Maryland Tri-County Community Action Committee Inc.	\$413,774.00
United Communities Against Poverty, Inc.	\$751,713.00
Washington County Community Action Council	\$310,721.00
<b>Total</b>	<b>\$9,013,729.00</b>

Planned CSBG 90 Percent Funds – Year Two	
CSBG Eligible Entity	Funding Amount \$
Allegany County Human Resources Development Commission Inc.	\$294,289.00
Anne Arundel County Community Action Agency Inc.	\$456,196.00
Baltimore City Community Action Partnership	\$2,519,079.00
Community Action Council of Howard County Maryland	\$238,724.00
Community Assistance Network, Inc.	\$742,533.00
Delmarva Community Services Inc.	\$342,227.00
Frederick Community Action Agency	\$267,102.00
Garrett County Community Action Committee, Inc.	\$313,329.00
Harford Community Action Agency, Inc.	\$309,357.00
Human Services Programs of Carroll County, Inc.	\$263,727.00
Maryland Rural Development Corporation	\$323,688.00
Montgomery County Community Action Agency	\$632,358.00
Neighborhood Services Center, Inc.	\$314,310.00
Shore Up Inc.	\$520,602.00
Southern Maryland Tri-County Community Action Committee Inc.	\$413,774.00
United Communities Against Poverty, Inc.	\$751,713.00
Washington County Community Action Council	\$310,721.00
<b>Total</b>	<b>\$9,013,729.00</b>

**Note:** This information pre-populates the state's Annual Report, Module 1, Table E.2.

**7.3. Distribution Process:** Describe the specific steps in the state's process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about state legislative approval or other types of administrative approval (such as approval by a board or commission).

[Step 1: Funds are encumbered by grant agreement prior to receiving HHS' Notice of Grant Award. Award amounts are based on the prior year's allocation. (Duration: 4 Weeks)]

Step 2: Upon receipt of the Notice of Grant Award letter from HHS, staff within the State Lead

Agency's Division of Finance and Administration (DFA) is notified that disbursements will be processed under this notice. (Duration: 1 Day)

Step 3: Actual award amounts are determined by applying the State's funding formula to the annual allocation. Agreements are amended, if needed. (Duration: 4 Weeks)

Step 4: Payment requests are processed and approved through the Department's online Community Development and Services (CDS) project portal, then forwarded to DFA. (Duration: 1 Day)

Step 5: DFA's Grant Accounting unit reviews payment requests and confirms availability of funds, then posts the payment to the State's Financial Management Information System (FMIS). Payments are authorized at this point. (Duration: 5 Days)

Step 6: Authorized payment requests are forwarded to the State Comptroller's Office and are reviewed and finalized by that Office. Payments are issued by Electronic Funds Transfer to Eligible Entities. (Duration: 10 Days)]

**7.4. Distribution Timeframe:** Does the state plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the federal award? ☒ Yes ☐ No

**7.4a. Distribution Consistency:** If no, describe state procedures to ensure funds are made available to eligible entities consistently and without interruption.

**[Narrative, 5000 Characters]**

**Note:** Item 7.4 is associated with State Accountability Measure 2Sa and may pre-populate the state's annual report form.

**7.5. Performance Management Adjustment:** Describe the state's strategy for improving grant and/or contract administration procedures under this State Plan as compared to past plans. Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any improvements, provide further detail. [In 2020, the Lead Agency's Division of Neighborhood Revitalization implemented a web-based project portal for managing the administration of all of its grant programs, including CSBG. The Community Development and Services project portal serves as a repository for much of the documentation related to administering grant awards, e.g. applications, contracts, progress reports, and payment requests. Tools for tracking and reporting award data are also built into the system which helps ensure that grant agreements, progress reports and payments are reviewed and processed efficiently.]

**Note:** This information is associated with State Accountability Measure 2Sb and may pre-populate the state's annual report form.

**Administrative Funds** [Section 675C(b)(2) of the CSBG Act]

- 7.6. Allocated Funds:** Specify the percentage of your CSBG planned allocation for administrative activities for the FFY(s) covered by this State Plan.

**Year One:** 5% **Year Two:** 5% [Numeric response, specify %]

**Note:** This information pre-populates the state's Annual Report, Module 1, Table E.4.

- 7.7. State Staff:** Provide the number of state staff positions to be funded in whole or in part with CSBG funds for the FFY(s) covered by this State Plan.

**Year One:** 8 **Year Two:** 8 [Numeric response, 0.00 – 99.99]

- 7.8. State FTEs:** Provide the number of state Full Time Equivalents (FTEs) to be funded with CSBG funds for the FFY(s) covered by this State Plan?

**Year One:** 4 **Year Two:** 4 [Numeric response, 0.00 – 99.99]

**Use of Remainder/Discretionary Funds** [Section 675C(b) of the CSBG Act]

- 7.9. Remainder/Discretionary Funds Use:** Does the state have remainder/discretionary funds, as described in Section 675C(b) of the CSBG Act? ☒ Yes ☐ No

**GUIDANCE:** "No" should only be selected if the percentages provided under 7.2. and 7.6. equal to 100%.

If yes, provide the allocated percentage and describe the use of the remainder/discretionary funds in the table below. **Year One:** 5% **Year Two:** 5%

**Note:** This response will link to the corresponding assurance, Item 14.2.

**Instructional Note:** The assurance under 676(b)(2) of the Act (Item 14.2 of this State Plan) specifically requires a description of how the state intends to use remainder/discretionary funds to "support innovative community and neighborhood-based initiatives related to the purposes of [the CSBG Act]." Include this description in Item 7.9f of the table below and/or attach the information.

If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the state provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between Items 7.9a. – 7.9c. If allocation is not possible, the state may allocate the funds to the main category with which the activity is associated.

**Note:** This information is associated with State Accountability Measures 3Sa and pre-

populates the Annual Report, Module 1, Table E.7.

<b>Use of Remainder/Discretionary Funds – Year One</b>		
<b>Remainder/Discretionary Fund Uses</b> (See 675C(b)(1) of the CSBG Act)	<b>Planned \$</b>	<b>Brief Description of Services and/or Activities</b>
7.9a. Training/technical assistance to eligible entities	\$25,762.00	These planned services/activities will be described in State Plan Item 8.1 <b>[Read Only]</b>
7.9b. Coordination of State-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, State Linkages and Communication <b>[Read Only]</b>
7.9c. Statewide coordination and communication among eligible entities	\$75,000.00	These planned services/activities will be described in State Plan Section 9, State Linkages and Communication <b>[Read Only]</b>
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	<b>[Narrative, 5000 characters]</b>
7.9e. Asset-building programs	\$244,000.00	[These funds support activities aimed at establishing and increasing savings of low-income households. Examples include VITA tax preparation services and financial education classes.]
7.9f. Innovation programs/activities by eligible entities or other neighborhood group	\$130,000.00	[To support projects that alleviate poverty, e.g. employing of a whole family approach, jobs initiatives, outreach programs, and homelessness services.]
7.9g. State charity tax credits	\$0.00	<b>[Narrative, 5000 characters]</b>
7.9h. Other activities [Specify under Column 4]	\$26,000.00	[To support activities that specifically address documented gaps in services to low-income households. Examples include researching racial disparities in homeless service delivery, and English-language classes for immigrant and refugee women and children.]
<b>Totals</b>	<b>\$500,762.00</b>	

<b>Use of Remainder/Discretionary Funds – Year Two (as applicable)</b>		
<b>Remainder/Discretionary Fund Uses</b> (See 675C(b)(1) of the CSBG Act)	<b>Planned \$</b>	<b>Brief Description of Services and/or Activities</b>
7.9a. Training/technical assistance to eligible entities	\$25,762.00	These planned services/activities will be described in State Plan Item 8.1 <b>[Read Only]</b>
7.9b. Coordination of State-operated programs and/or local programs	\$0.00	These planned services/activities will be described in State Plan Section 9, State Linkages and Communication <b>[Read Only]</b>
7.9c. Statewide coordination and communication among eligible entities	\$75,000.00	These planned services/activities will be described in State Plan Section 9, State Linkages and Communication <b>[Read Only]</b>
7.9d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	<b>[Narrative, 5000 characters]</b>

Use of Remainder/Discretionary Funds – Year Two (as applicable)		
Remainder/Discretionary Fund Uses (See 675C(b)(1) of the CSBG Act)	Planned \$	Brief Description of Services and/or Activities
7.9e. Asset-building programs	\$244,000.00	[These funds support activities aimed at establishing and increasing savings of low-income households. Examples include VITA tax preparation services and financial education classes.]
7.9f. Innovation programs/activities by eligible entities or other neighborhood group	\$130,000.00	[To support projects that alleviate poverty, e.g. employing of a whole family approach, jobs initiatives, outreach programs, and homelessness services.]
7.9g. State charity tax credits	\$0.00	[Narrative, 5000 characters]
7.9h. Other activities [Specify under Column 4]	\$26,000.00	[To support activities that specifically address documented gaps in services to low-income households. Examples include researching racial disparities in homeless service delivery, and English-language classes for immigrant and refugee women and children.]
<b>Totals</b>	<b>\$500,762.00</b>	

**GUIDANCE:** If the percentages provided under 7.2. and 7.6. do not equal 100%, the remaining percentage should be reported under 7.9. If the state does not have any remainder/discretionary fund activities (as listed in 7.9a. – 7.9g.), the remainder should be described in 7.9h.

**7.10. Remainder/Discretionary Funds Partnerships:** Select the types of organizations, if any, the state plans to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in Table 7.9. **[Check all that apply and narrative where applicable]**

- ☐ The state directly carries out all activities (No Partnerships)
- ☒ The state partially carries out some activities
- ☒ CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) [10]
- ☒ Other community-based organizations
- ☒ State Community Action association
- ☐ Regional CSBG technical assistance provider(s)
- ☐ National technical assistance provider(s)
- ☐ Individual consultant(s)
- ☐ Tribes and Tribal Organizations
- ☐ Other [Narrative, 2500 characters]

**Note:** This response will link to the corresponding CSBG assurance in Item 14.2.

**7.11. Performance Management Adjustment:** Describe any adjustments the state will make to the use of remainder/discretionary funds under this State Plan as compared to past



plans? Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail.

[The State Lead Agency will continue to set aside funding for the State Association. The remaining available funds will be distributed across three categories: Innovative Programs to Alleviate Poverty, Asset Building Programs, and Programs to Fill Gaps in Service. Proposals from Eligible Entities will continue to receive preference over those from other non-profit community-based organizations.]

**Note:** This information is associated with State Accountability Measures 3Sb and may pre-populate the state's annual report form.

## SECTION 8

### State Training and Technical Assistance

**8.1. Training and Technical Assistance Plan:** Describe the state’s plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic. (CSBG funding used for this activity is referenced under item 7.9a., Use of Remainder/Discretionary Funds. States should also describe training and technical assistance activities performed directly by state staff, regardless of whether these activities are funded with remainder/discretionary funds.)

**Note:** This information is associated with State Accountability Measure 3Sc and pre-populates the Annual Report, Module 1, Table F.1.

**GUIDANCE:** Table 8.1. should only include the trainings that are being paid for using state discretionary training and technical assistance funds as noted under 7.9a.

Training and Technical Assistance – Year One			
Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
FY1 Q1	Training	Organizational Standards – General	
FY1 Q1	Technical Assistance	Community Assessment	
FY1 Q1	Technical Assistance	Strategic Plan	
FY1 Q2	Training	Reporting (Annual Report)	
FY1 Q2	Training	Monitoring	
FY1 Q3	Technical Assistance	Organizational Standards – for eligible entities with unmet TAPs or QIPs	
FY1 Q3	Training	Other	Application Training – Discretionary Round
FY1 Q4	Both	Other	Community Action Plan
FY1 Q4	Training	Governance/Tripartite Boards	
Ongoing/Multiple Quarters	Technical Assistance	Technology	

Training and Technical Assistance – Year Two			
Planned Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of “Other”
FY2 Q1	Training	Organizational Standards – General	
FY2 Q1	Technical Assistance	Community Assessment	
FY2 Q1	Technical Assistance	Strategic Plan	
FY2 Q2	Training	Reporting (Annual Report)	
FY2 Q2	Training	Monitoring	
FY2 Q3	Technical Assistance	Organizational Standards – for eligible entities with unmet TAPs or QIPs	
FY2 Q3	Training	Other	Application Training – Discretionary Round
FY2 Q4	Both	Other	Application Training – Community Action Plan
FY2 Q4	Training	ROMA	
Ongoing/Multiple Quarters	Technical Assistance	Technology	

**8.1a. Training and Technical Assistance Budget:** The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9):

Year One: \$25,762.00

Year Two: \$25,762.00

**[Prepopulated with the budget allocation for years one and two under 7.9a]**

**8.1b. Training and Technical Assistance Collaboration:** Describe how the state will collaborate with the State Association and other stakeholders in the planning and delivery of training and technical assistance. [The State Lead Agency will work with the State Association to coordinate training and technical assistance activities for Eligible Entities. An annual plan is developed based on the results of the State Association’s annual survey of its members and the State Lead

Agency's monitoring activities. Depending on the topic, available resources, and staff expertise, either the State Lead Agency or the State Association will conduct training and/or technical assistance. State Lead Agency staff participate in the State Association's annual conference as panelists or presenters on a range of topics related to the administration of the CSBG program. The Lead Agency also participates in the RPIC for Region 3, which is led by the State Association.]

- 8.2. TAPs and QIPs:** Does the state have Technical Assistance Plans (TAPs) and/or Quality Improvement Plans (QIPs) in place for all eligible entities with unmet organizational standards, if appropriate? **[Select one]** ☒ Yes ☐ No

**Note:** 8.2 is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C(a)(4) of the CSBG Act. If the state, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the state should put a TAP in place to support the entity in meeting the standard(s).

- 8.2a. Address Unmet Organizational Standards:** Describe the state's plan to provide T/TA to eligible entities to ensure they address unmet Organizational Standards. [To meet the requirements of IM-138, the State Lead Agency requires Eligible Entities complete an annual Organizational Standards Self-Assessment. Eligible Entities with unmet Standards will complete a TAP to outline actions they will take to come into compliance with the Standards. The State Lead Agency will utilize an online system to verify self-assessment results and to manage TAPs. The State Lead Agency will provide training and technical assistance as needed to support Entities in meeting Organizational Standards. The State Lead Agency will also coordinate with the State Association to provide training and technical assistance for individual Entities. Where it appears that Standards in a particular area are consistently unmet, the State Lead Agency will notify the State Association and recommend training for the entire network. This training may be conducted solely by the State Association or collaboratively with the State Lead Agency.]

- 8.3. Training and Technical Assistance Organizations:** Indicate the types of organizations through which the state plans to provide training and/or technical assistance as described in Item 8.1, and briefly describe their involvement. (Check all that apply.) **[Check all that applies and narrative where applicable]**

- ☐ CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds) **[Numeric response, 0 – 100]**
- ☐ Other community-based organizations
- ☒ State Community Action Association
- ☐ Regional CSBG technical assistance provider(s)

- ☒ National technical assistance provider(s)
- ☐ Individual consultant(s)
- ☐ Tribes and Tribal Organizations
- ☐ Other [Narrative, 1000 characters]

**8.4. Performance Management Adjustment:** Describe adjustments the state made to the training and technical assistance plan under this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. [The State Lead Agency will focus on developing the expertise of its program staff in order to improve the quality of training and technical assistance provided to Eligible Entities. The Lead Agency will continue to collaborate with the State Association to provide customized training and technical assistance to Eligible Entities, as well as, comprehensive training for the entire network.]

**Note:** This information is associated with State Accountability Measures 3Sd and may pre-populate the state's annual report form.

## SECTION 9

### State Linkages and Communication

**Note:** This section describes activities that the state may support with CSBG remainder/discretionary funds, described under Section 675C(b)(1) of the CSBG Act. The state may indicate planned use of remainder/discretionary funds for linkage/communication activities in Section 7, State Use of Funds, items 7.9(b) and (c).

- 9.1. State Linkages and Coordination at the State Level:** Describe the linkages and coordination at the state level that the state intends to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)). Describe additional information as needed. **[Check all that apply from the list below and provide a Narrative, 5000 Characters]**

**Note:** This response will link to the corresponding CSBG assurance, Item 14.5. In addition, this information is associated with State Accountability Measure 7Sa and pre-populates the Annual Report, Module 1, Item G.1.

- ☒ State Low Income Home Energy Assistance Program (LIHEAP) office
- ☒ State Weatherization office
- ☒ State Temporary Assistance for Needy Families (TANF) office
- ☒ State Head Start office
- ☒ State public health office
- ☒ State education department
- ☒ State Workforce Innovation and Opportunity Act (WIOA) agency
- ☐ State budget office
- ☒ Supplemental Nutrition Assistance Program (SNAP)
- ☒ State child welfare office
- ☒ State housing office
- ☐ Other

- 9.2. State Linkages and Coordination at the Local Level:** Describe the linkages and coordination at the local level that the state intends to create or maintain with governmental and other social services, especially antipoverty programs, to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by assurances under Section 676(b)(5) – (6)). **[Both the State and the Eligible Entities work with a wide range of state, local, and regional entities to more effectively provide services to low-income households. These linkages include but are not limited to county and municipal government offices, local businesses, local Departments of Social Services, community-based non-profit organizations, and local and regional associations.]**

**Note:** This response will link to the corresponding CSBG assurances, Items 14.5 and 14.6, and pre-populates the Annual Report, Module 1, Item G.2.

### 9.3. Eligible Entity Linkages and Coordination

**9.3a. State Assurance of Eligible Entity Linkages and Coordination:** Describe how the state will assure that eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). [The State Lead Agency will coordinate with the State's Department of Human Services (DHS) to support Eligible Entities as they implement a Whole Family Approach to service delivery. DHS recently made funding available to Eligible Entities in support of Whole Family activities. The State Lead Agency will encourage Eligible Entities to develop and strengthen linkages and coordination with local Departments of Social Services and community-based organizations that serve low-income households. The State Lead Agency will also continue to strengthen relationships with the Department of Labor, the State Head Start office, and other relevant agencies to build relationships and connections and increase the coordination between state agencies and eligible entities and to reduce the likelihood of duplication of services.]

**Note:** This response will link to the corresponding CSBG assurance, Item 14.5. and pre-populates the Annual Report, Module 1, Item G.3a.

**9.3b. State Assurance of Eligible Entity Linkages to Fill Service Gaps:** Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act. [Utilizing a Whole Family Approach, Eligible Entities will work to either provide services that are not already provided by existing organizations or will work in partnership with local organizations to appropriately refer low-income households and then provide the necessary case management and follow-up to ensure that the household's needs are fully met. Additionally, the State Lead Agency will make discretionary funding available to support activities that fill documented gaps in services. Eligible Entities will submit proposals that identify their methods for maximizing partnerships and linkages to fill service gaps.]

**Note:** This response will link to the corresponding CSBG assurance, Item 14.3b. and pre-populates the Annual Report, Module 1, Item G.3b.

### 9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training

**Activities:** Does the state intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)?

☒ Yes ☐ No

**Note:** This response will link to the corresponding CSBG assurance, Item 14.5.

- 9.4a. WIOA Combined Plan:** If the state selected yes under Item 9.4, provide the CSBG-specific information included in the state's WIOA Combined Plan. This information includes a description of how the state and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy. [\[Eligible entities coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems as follows:](#)

[The Community Services Block Grant \(CSBG\) was a new addition to Maryland's 2018 WIOA State Plan. However, the OJT and the State's 17 local CAAs have been partners in the state workforce system for some time. Recognizing both agencies' common customer, Maryland's CAAs have been instrumental in referring clients to Local Areas for training. CAAs have entered into Memoranda of Understanding with Local Area WIOA partners and have built relationships with DORS to enhance access to VR services.](#)

[CAAs in Maryland have also led innovations in 2Gen service delivery. Specifically, Garrett County Community Action Committee, Inc. and the Allegany County Human Resources Development Commission are recognized as national leaders in 2Gen implementation. At the state level, representatives of DHCD, the lead CSBG State Agency, and the Maryland Community Action Partnership, Maryland's CAA State Association, sit on Governor Hogan's Two Generation Family Economic Security Commission. As a combined plan partner, DHCD is included on the state's WIOA Alignment Group and this participation since 2018 has led to enhanced coordination between CAAs and local workforce systems.](#)

[The inclusion of the CSBG program in Maryland's Workforce Plan opens new opportunities for CAAs to be integrated into local workforce services delivery. As a result of this integration, all Local Areas are required to address how they work with these entities in a more systematic way in local plan formulation and through the execution of WIOA compliant Memoranda of Understanding and Resource Sharing Agreements. Additionally, by July 2020, CAAs will be participating on all Local Boards.](#)

[DHCD has been recognized by the U.S. Department of Housing and Urban Development as the Balance of State Continuum of Care \(CoC\) for seven counties in Maryland \(Allegany, Calvert, Cecil, Charles, Garrett, St. Mary's, and Washington\). In that role, DHCD will serve as the CoC Lead in the submission of the annual CoC application; coordinate the annual Point in Time Count; and has responsibility for all data collection requirements. This transition will allow DHCD to take on the administrative portion of CoC governance, allowing the seven largely rural counties to focus more time and energy on providing services to individuals experiencing or at risk of homelessness.](#)



Since 2017, DHCD has promoted collaboration between Community Action Agencies and the workforce system in Maryland. Representatives of DHCD have met with MWA, provided opportunities for representatives of MD Labor to meet with the CAA network; encouraged the Maryland Community Action Partnership, the statewide association for CAA organizations, to include MD Labor representatives to present during their annual conference; and worked with the GWDB to develop regulations that require all Local Boards in Maryland include a representative from the local CAA.

The following are examples of innovative employment and training programs and activities conducted by eligible entities or other neighborhood-based organizations as part of a community antipoverty strategy:

- A new Adult Literacy Program is being developed for adults who cannot read or write utilizing the Laubach Reading System. Through this system volunteers will work one-on-one with participating adults.
- A CAA is providing training scholarships for skills training in occupations that are in high demand in respective jurisdictions.
- Adult literacy activities will take place with the parents of the agency's Department of Children and Family Services throughout the year through Parent Meetings and Socializations.
- In rural areas where transportation challenges exist, CAAs refurbish used vehicles and provide them to customers upon the completion of agreed upon goals.
- One Maryland CAA has established a partnership with a large hotel. Employment staff and job developers work with hotel employees to collaboratively develop training experiences. Participants are offered job training by hotel employees in many departments and are supported by a job developer or Job Coach through the experience.
- Another Maryland CAA provides Commercial Driver's License (CDL) training as possession of the Class B license can lead to higher earnings and advanced career opportunities. The training is conveniently offered in the evening, so it is more accessible to participants.
- The same CAA also established a Student Intern Program that provides students with opportunities for training and employment. Area undergraduate and graduate students are selected and provided with a rich employment experience. Stipends and scholarships are made available to assist with the high cost of higher education and reduce the financial need for student loans.]

**9.4b. Employment and Training Activities:** If the state selected no under Item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the state and by eligible entities providing activities through the WIOA system. [Narrative, 5000 Characters]

**9.5. Emergency Energy Crisis Intervention:** Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under Section 676(b)(6) of the CSBG Act). [The Maryland Department of Human Services (DHS) through the Office of Home Energy Programs (OHEP) is responsible for administering the Low-Income Home Energy Assistance Program in the State of Maryland. DHS contracts with public and non-profit organizations to administer federal energy assistance benefits to low-income households. In Maryland, half of the local energy assistance offices are housed within Eligible Entities. Eligible Entities have also established partnerships in jurisdictions where they are not the local energy program office. The State Lead Agency also works with DHS to educate Eligible Entities as needed on statewide changes and developments related to OHEP policies and programs.]

**Note:** This response will link to the corresponding CSBG assurance, Item 14.6.

**9.6. Faith-based Organizations, Charitable Groups, Community Organizations:** Describe how the state will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the state's assurance under Section 676(b)(9) of the CSBG Act. [Through training and technical assistance, the State Lead Agency will continue to encourage and assure, to the maximum extent possible, that Eligible Entities will coordinate and form partnerships with other organizations that serve low-income populations, including faith-based organizations, charitable groups, and community organizations.]

**Note:** this response will link to the corresponding assurance, Item 14.9

**9.7. Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:** Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act. [In their annual Community Action Plans, Eligible Entities identify all sources of funding that will support their anti-poverty programs. CSBG funds cover operating costs associated the Entity's programs that serve low-income households. Other public and private resources support one or more individual programs with the organization.]

**Note:** This response will link to the corresponding assurance, Item 14.3c.

**9.8. Coordination among Eligible Entities and State Community Action Association:** Describe state activities for supporting coordination among the eligible entities and the

State Community Action Association. [All seventeen Eligible Entities are members of the State Association. The State also sets aside a portion of discretionary funds to support the State Association's statewide coordination and communication with Eligible Entities. Additionally, the State sponsors and actively participates in the State Association's annual conference and attends all State Association board meetings. The State Association currently leads the RPIC for this region and the State Lead Agency participates in RPIC meetings and work groups.]

**Note:** This information will pre-populate the Annual Report, Module 1, Item G.5.

- 9.9. Communication with Eligible Entities and the State Community Action Association:** In the table below, detail how the state intends to communicate with eligible entities, the State Community Action Association, and other partners identified under this State Plan on the topics listed below.

For any topic that is not applicable, select *Not Applicable* under Expected Frequency.

Communication Plan			
Subject Matter	Expected Frequency	Format	Brief Description of "Other"
Upcoming Public and/or Legislative Hearings	Biannual	Meetings/Presentations	
State Plan Development	Annually	Meetings/Presentation Email Website Webinar	
Organizational Standards Progress	As needed	Meetings/Presentation Email 1:1 Phone Calls	
State Accountability Measures Progress	As needed	Meetings/Presentation	
Community Needs Assessments/Community Action Plans	Semi-Annually	Meetings/Presentation 1:1 Phone Calls	
State Monitoring Plans and Policies	Annually	Newsletters Meetings/Presentation Email Webinar 1:1 Phone Calls Letters/Hard Copies Other	When policies are updated or during annual training conferences
Training and Technical Assistance (T/TA) Plans	Upon Request	Meetings/Presentation Email Webinar 1:1 Phone Calls	
ROMA and Performance Management	Quarterly	Newsletters Meetings/Presentation	

Communication Plan			
Subject Matter	Expected Frequency	Format	Brief Description of "Other"
		1:1	
State Interagency Coordination	Annually	Meetings/Presentation Email Phone Calls	
CSBG Legislative/Programmatic Updates	Biannual	Newsletters Meetings/Presentation Public Notice	
Tripartite Board Requirements	Annually	Meetings/Presentation Email Webinar 1:1 Phone Calls	
CSBG State Office Updates	Monthly	Newsletters Meetings/Presentation Phone Calls	
Funding Disbursements	Quarterly	Email 1:1 Phone Calls	

**9.10. Feedback to Eligible Entities and State Community Action Association:** Describe how the state will provide information to local entities and State Community Action Associations regarding performance on State Accountability Measures. [The State Lead Agency will provide feedback on State Accountability Measures through multiple venues, including State Association board meetings; the annual CSBG Director's meeting; and the State association Annual conference.]

**Note:** This information is associated with State Accountability Measure 5S(iii) and will pre-populate the Annual Report, Module 1, Item G.6.

**GUIDANCE:** Under this question, include how the state will provide information to local entities and state associations within 60 days of receiving feedback from OCS.

**9.11. Performance Management Adjustment:** Describe any adjustments the state made to the Communication Plan in this State Plan as compared to past plans. Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. [The State has restructured its program team. Staff are assigned regions of the state and work with Eligible Entities in those regions. This provides each Entity with a point of contact who assists with the day-to-day administration of their grant award; provides training and technical assistance, as needed; and facilitates communication between the Department and the Eligible Entity. The State has increased coordination and communication with the State Association by participating in regular meetings about individual and joint efforts to

support Eligible Entities. The State also distributes a monthly newsletter with program updates, guidance and relevant resource information.]

**Note:** This information is associated with State Accountability Measures 7Sb; this response may pre-populate the state's annual report form.

## SECTION 10

### Monitoring, Corrective Action, and Fiscal Controls

#### Monitoring of Eligible Entities (Section 678B(a) of the CSBG Act)

- 10.1.** Specify the proposed schedule for planned monitoring visits including: full on-site reviews; on- site reviews of newly designated entities; follow-up reviews – including return visits to entities that failed to meet state goals, standards, and requirements; and other reviews as appropriate.

This is an estimated schedule to assist states in planning. States may indicate “no review” for entities the state does not plan to monitor in the performance period.

**Note:** This information is associated with State Accountability Measure 4Sa(i); this response pre-populates the Annual Report, Module 1, Table H.1.

**GUIDANCE:** Monitoring that is specific to organizational standards should be referenced within Section 6, Item 6.3a.

Monitoring Schedule – Year One						
CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of “Other”
Allegany County Human Resources Development Commission Inc.	Full On-Site	Onsite Review	FY1 Q3	08/23/2018	08/23/2018	
Anne Arundel County Community Action Agency Inc.	Full On-Site	Onsite Review	FY1 Q3	11/05/2018	11/05/2018	
Baltimore City Community Action Partnership	No Review					
Community Action Council of Howard County Maryland	No Review					
Community Assistance Network, Inc.	No Review					
Delmarva Community Services Inc.	Full On-Site	Onsite Review	FY1 Q3	11/15/2018	11/15/2018	
Frederick Community Action Agency	Full On-Site	Onsite Review	FY1 Q4	07/13/2018	07/13/2018	

Monitoring Schedule – Year One						
CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of “Other”
Garrett County Community Action Committee, Inc.	Full On-Site	Onsite Review	FY1 Q4	08/22/2018	08/22/2018	
Harford Community Action Agency, Inc.	Full On-Site	Onsite Review	FY1 Q4	11/01/2018	11/01/2018	
Human Services Programs of Carroll County, Inc.	No Review					
Maryland Rural Development Corporation	No Review					
Montgomery County Community Action Agency	No Review					
Neighborhood Services Center, Inc.	No Review					
Shore Up Inc.	No Review					
Southern Maryland Tri-County Community Action Committee Inc.	No Review					
United Communities Against Poverty, Inc.	No Review					
Washington County Community Action Council	No Review					

Monitoring Schedule – Year Two						
CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of “Other”
Allegany County Human Resources Development Commission Inc.	No Review					

Monitoring Schedule – Year Two						
CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of “Other”
Anne Arundel County Community Action Agency Inc.	No Review					
Baltimore City Community Action Partnership	No Review					
Community Action Council of Howard County Maryland	Full On-Site	Onsite Review	FY2 Q3	4/24/2019	4/24/2019	
Community Assistance Network, Inc.	No Review					
Delmarva Community Services Inc.	No Review					
Frederick Community Action Agency	No Review					
Garrett County Community Action Committee, Inc.	No Review					
Harford Community Action Agency, Inc.	No Review					
Human Services Programs of Carroll County, Inc.	No Review					
Maryland Rural Development Corporation	Full On-Site	Onsite Review	FY2 Q3	6/17/2019	6/17/2019	



Monitoring Schedule – Year Two						
CSBG Eligible Entity	Monitoring Type	Review Type	Target Quarter	Start Date of Last Full Onsite Review	End Date of Last Full Onsite Review	Brief Description of “Other”
Montgomery County Community Action Agency	Full On-Site	Onsite Review	FY2 Q3	9/10/2019	9/10/2019	
Neighborhood Services Center, Inc.	No Review					
Shore Up Inc.	Full On-Site	Onsite Review	FY2 Q4	8/14/2019	8/14/2019	
Southern Maryland Tri-County Community Action Committee Inc.	Full On-Site	Onsite Review	FY2 Q4	6/25/2019	6/25/2019	
United Communities Against Poverty, Inc.	No Review					
Washington County Community Action Council	Full On-Site	Onsite Review	FY2 Q4	9/11/2019	9/11/2019	

**GUIDANCE:** Comprehensive monitoring includes a review of program, administrative, fiscal and organizational standards.

If you are monitoring an entity as a follow up to an issue with another program this can be listed under “Other.”

When providing the date of your last full onsite review – this could be for any type of review that took place onsite. No dates for desk reviews should be provided here.

**10.2. Monitoring Policies:** Provide a copy of state monitoring policies and procedures by attaching and/or providing a hyperlink. [\[Attachment\]](#)

- 10.3. Initial Monitoring Reports:** According to the state’s procedures, by how many calendar days must the state disseminate initial monitoring reports to local entities? [60]

**Note:** This item is associated with State Accountability Measure 4Sa(ii) and may pre-populate the state’s annual report form.

**Corrective Action, Termination and Reduction of Funding and Assurance Requirements  
(Section 678C of the Act)**

- 10.4. Closing Findings:** Are state procedures for addressing eligible entity findings/deficiencies, and the documenting closure of findings included in the state monitoring protocols attached above? ☒ Yes ☐ No

**10.4a. Closing Findings Procedures:** If no, describe state procedures for addressing eligible entity findings/deficiencies, and the documenting closure of findings.  
[Narrative, 2500 characters]

- 10.5. Quality Improvement Plans (QIPs):** Provide the number of eligible entities currently on QIPs, if applicable. [0]

**Note:** The QIP information is associated with State Accountability Measures 4Sc.

- 10.6. Reporting of QIPs:** Describe the state’s process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the state approving a QIP? [Deficiencies identified as a result of monitoring will be addressed by a QIP. After the State Lead Agency and Eligible Entity have reviewed and agreed upon action items to correct deficiencies and a timeline for those items to be completed, the QIP will be forwarded to the Office of Community Services.]

**Note:** This item is associated with State Accountability Measure 4Sa(iii)).

- 10.7. Assurance on Funding Reduction or Termination:** The state assure that “any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the state determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)” per Section 676(b)(8) of the CSBG Act. ☒ Yes ☐ No

**Note:** This response will link with the corresponding assurance under item 14.8.

## Policies on Eligible Entity Designation, De-designation, and Re-designation

**10.8. Eligible Entity Designation:** Do the state CSBG statute and/or regulations provide for the designation of new eligible entities? ☒ Yes ☐ No

**10.8a. New Designation Citation:** If yes, provide the citation(s) of the law and/or regulation. [\[Article 83B 12-01 \(d\) of the Annotated Code of Maryland "Community Action Agencies"\]](#)

**10.8b. New Designation Procedures:** If no, describe state procedures for the designation of new eligible entities and how the procedures were made available to eligible entities and the public. **[Narrative, 5000 Characters]**

**10.9. Eligible Entity Termination:** Do state CSBG statute and/or regulations provide for termination of eligible entities? ☒ Yes ☐ No

**10.9a. Termination Citation:** If yes, provide the citation(s) of the law and/or regulation. [\[Article 83B 12-01 \(d\) of the Annotated Code of Maryland "Community Action Agencies"\]](#)

**10.9b. Termination Procedures:** If no, describe state procedures for termination of new eligible entities and how the procedures were made available to eligible entities and the public. **[Narrative, 5000 characters]**

**10.10. Eligible Entity Re-Designation:** Do the state CSBG statute and/or regulations provide for re-designation of an existing eligible entity? ☐ Yes ☒ No

**10.10a. Re-Designation Citation:** If yes, provide the citation(s) of the law and/or regulation. **[Narrative, 2500 Characters]**

**10.10b. Re-Designation Procedures:** If no, describe state procedures for re-designation of existing eligible entities and how the procedures were made available to eligible entities and the public. [\[The State does not currently have procedures in place for re-designation but will follow guidance outlined in IM116 when developing these procedures over the next year.\]](#)

**GUIDANCE:** Re-designation implies that an entity that is already designated/receiving funds is now performing the duties and receiving funds that were previously designated to another entity, in addition to the funding that they are already receiving. This is different from a merger as an entity is not absorbing another entity. This re-designation may be permanent (**requires a formula redistribution**) or temporary while the state has officially designated a new entity and has completed a formula redistribution. See CSBG Act 676A, *Designation and Redesignation...*, for more information.

## **Fiscal Controls and Audits and Cooperation Assurance**

**10.11. Fiscal Controls and Accounting:** Describe how the state's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a). [The State's Division of Finance and Administration posts and tracks expenditures of CSBG funds through the statewide Financial Management Information System (FMIS). Eligible Entities are required to submit periodic reports showing expenditures of CSBG funds. Any requests for modification to the Entity's budget must be reviewed and approved by the State.]

**10.12. Single Audit Management Decisions:** Describe state procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR 75.521. [The State Lead Agency, with assistance from its Internal Auditing staff, will review Eligible Entity single audit reports and issue management decisions on any findings resulting from the audit. Management decisions will state whether or not audit findings are sustained, the reasons for the decision, and the expected corrective action to be taken by the Eligible Entity, which may include repayment of disallowed costs, financial adjustments, or other action. Management decisions will be issued within six months of acceptance of the audit report by the Federal Audit Clearinghouse. Eligible Entities will be required to proceed with corrective actions upon their receipt of the audit report.]

**Note:** This information is associated with State Accountability Measure 4Sd.

**10.13. Assurance on Federal Investigations:** The state will "permit and cooperate with Federal investigations undertaken in accordance with Section 678D" of the CSBG Act, as required by the assurance under Section 676(b)(7) of the CSBG Act. ☒ Yes ☐ No

**Note:** This response will link with the corresponding assurance, Item 14.7

**10.14. Performance Management Adjustment:** Describe any adjustments the state made to monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the state's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the state is not making any adjustments, provide further detail. [The State will continue to refine and update its monitoring procedures to more effectively identify deficiencies or areas of concern and corrective action. The State will also work to improve the quality training and technical assistance provided to Eligible Entities based on monitoring results. Program staff will participate in training on federal regulations pertaining to grant administration, specifically Uniform Guidance and 45 CFR Part 75.]

**Note:** This item is associated with State Accountability Measure 4Sb and may pre-populate the state's annual report form.

## SECTION 11

### Eligible Entity Tripartite Board

**11.1. Tripartite Board Verification:** Verify which of the following measures are taken to ensure that the state verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B(a)(2) of the CSBG Act. **[Check all that applies and narrative where applicable]**

- ☒ Attend Board meetings
- ☒ Organizational Standards Assessment
- ☒ Monitoring
- ☒ Review copies of Board meeting minutes
- ☒ Track Board vacancies/composition
- ☐ Other **[Narrative, 2500 characters]**

**11.2. Tripartite Board Updates:** Provide how often the state requires eligible entities (which are not on TAPs or QIPs) to provide updates regarding their Tripartite Boards. This includes but is not limited to copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc. **[Select one and narrative where applicable]**

- ☐ Annually
- ☐ Semiannually
- ☐ Quarterly
- ☐ Monthly
- ☐ As It Occurs
- ☒ Other **[An Eligible Entity must have a written plan that describes the process for identifying candidates to fill board vacancies in each of the three sectors of the tripartite board. The State requires that Eligible Entities notify the State of any board vacancy within 30 days of its occurrence. At the time of notification, the State requires the Eligible Entity to submit a written plan to the State that outlines the steps the Entity will take to fill the vacancy within the subsequent 90 days. At the conclusion of the 90-day period, the Eligible Entity will notify the State that the candidate has been identified and the date they will officially become a member of the board. If a new candidate has not been identified at this time, the Eligible Entity may submit a written request to extend the 90-day period at the discretion of the State. If an extension is requested, the Eligible Entity must provide specific details as to any challenges or barriers to identifying candidate, steps the Eligible Entity will take to address these challenges or barriers, and a timeline for a successful completion of the search.]**

- 11.3. Tripartite Board Representation Assurance:** Describe how the states will verify that eligible entities have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entity’s Tripartite Board as required by the assurance under Section 676(b)(10) of the CSBG Act. [\[The State will review by-laws, policies, and relevant board minutes of all eligible entities during desk and on-site monitoring.\]](#)

**Note:** This response will link with the corresponding assurance, Item 14.10.

- 11.4. Tripartite Board Alternative Representation:** Does the state permit public eligible entities to use, as an alternative to a Tripartite Board, “another mechanism specified by the state to assure decision-making and participation by low-income individuals in the development, planning, implementation, and evaluation of programs” as allowed under Section 676B(b)(2) of the CSBG Act? ☐ Yes ☒ No

**11.4a.** If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board. **[Narrative, 2500 Characters]**

## Section 12

### Individual and Community Income Eligibility Requirements

**12.1. Required Income Eligibility:** Provide the income eligibility threshold for services in the state. [Select one item below and numeric response where applicable.]

- ☐ 125% of the HHS poverty line
- ☒ X % of the HHS poverty line (fill in the threshold): 200%
- ☐ Varies by eligible entity [Narrative, 5000 characters]

**GUIDANCE:** Under *Varies by eligible entity*, provide the threshold and the reason that it varies by entity.

**12.1a.** Describe any state policy and/or procedures for income eligibility, such as treatment of income and family/household composition. [Narrative, 5000 Characters]

**12.2. Income Eligibility for General/Short Term Services:** Describe how the state ensures eligible entities generally verify income eligibility for those services with limited in-take procedures (where individual income verification is not possible or practical). An example of these services is emergency food assistance. [During on-site monitoring visits, the State will review the policies of the Eligible Entity to ensure income eligibility requirements are clearly outlined for frontline staff. The State will also review sample client files to ensure income eligibility requirements are met in relation to the services provided.]

**12.3. Community-targeted Services:** Describe how the state ensures eligible entities' services target and benefit low-income communities for those services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations). [Eligible Entities that offer services providing a community-wide benefit will include narrative descriptions in their Community Action Plans which identify how those services target and benefit low-income communities.]



## SECTION 13

### Results Oriented Management and Accountability (ROMA) System

- 13.1. Performance Measurement System:** Identify the performance measurement system that the state and all eligible entities use, as required by Section 678E(a) of the CSBG Act and the assurance under Section 676(b)(12) of the CSBG Act. **[Select one]**

**Note:** This response will also link to the corresponding assurance, Item 14.12. and will pre-populate the Annual Report, Module 1, Item I.1.

- ☒ The Results Oriented Management and Accountability (ROMA) System
- ☐ Another performance management system that meets the requirements of Section 678E(b) of the CSBG Act
- ☐ An alternative system for measuring performance and results

**13.1a. ROMA Description:** If ROMA was chosen in Item 13.1, describe the state's written policies, procedures, or guidance documents on ROMA. *[The State does not currently have official policies related to ROMA but relies on guidance from the federal Office of Community Services and training materials provided by national partners. The Lead Agency's program staff continue to participate in the State Association's ROMA Alliance peer learning group.]*

**13.1b. Alternative System Description:** If an alternative system was chosen in Item 13.1, describe the system the state will use for performance measurement. **[Narrative, 5000 characters]**

- 13.2. Outcome Measures:** Indicate and describe the outcome measures the state will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under Section 676(b)(12) of the CSBG Act. **[Select one and Narrative, 5000 characters]**

**Note:** This response will also link to the corresponding assurance, Item 14.12.

- ☒ CSBG National Performance Indicators (NPIs)
- ☐ NPIs and others
- ☐ Others

- 13.3. Eligible Entity Support:** Describe how the state supports the eligible entities in using ROMA or an alternative performance management system. *[The State Lead Agency will utilize discretionary funds to provide Eligible Entities with training and technical assistance in areas such as board governance, community needs assessment and strategic planning.]*

**Note:** The activities described under Item 13.3 may include activities listed in "Section 8: Training and Technical Assistance." If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, Item 14.12.

- 13.4. Eligible Entity Use of Data:** Describe how the state plans to validate that the eligible entities are using data to improve service delivery. [During on-site and desk monitoring, the State Lead Agency will look for documented evidence that qualitative and quantitative data are used in program development and evaluation, as well as, in the development of the Eligible Entities' community needs assessment and strategic plan.]

**Note:** This response will also link to the corresponding assurance, Item 14.12.

### **Community Action Plans and Needs Assessments**

- 13.5. Community Action Plan:** Describe how the state will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by Section 676(b)(11) of the CSBG Act. [The State's CSBG grant agreement includes a requirement that Eligible Entities meet all federal and State requirements of the award, including submission of reports and data. Annually, the State Lead Agency will provide Eligible Entities with forms and instructions for submitting their CAP. The State will also provide training and technical assistance to assist Eligible Entities with completing their Plans by the established deadline. The State will review and accept CAPs before executing grant agreements for CSBG funding.]

**Note:** This response will link to the corresponding assurance, Item 14.11.

- 13.6. Community Needs Assessment:** Describe how the state will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by Section 676(b)(11) of the CSBG Act. [As indicated in the response to question 13.5, Eligible Entities are required to submit reports and data as a condition of their CSBG grant agreement. The requirement to submit a community needs assessment with the Entity's CAP is also provided in the instructions for submitting the CAP. The State Lead Agency will not formally accept and Entities' CAP if the CNA has not been provided. If an Entity fails to submit a CNA, they will be monitored through the TAP process and provided any necessary training and technical assistance.]

**Note:** This response will link to the corresponding assurance, Item 14.11.

**SECTION 14**  
**CSBG Programmatic Assurances and Information Narrative**  
*(Section 676(b) of the CSBG Act)*

**14.1. Use of Funds Supporting Local Activities**

***CSBG Services***

**14.1a. 676(b)(1)(A)** Describe how the state will assure “that funds made available through grant or allotment will be used –

- (A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farmworkers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--
  - (i) to remove obstacles and solve problems that block the achievement of self- sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
  - (ii) to secure and retain meaningful employment;
  - (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
  - (iv) to make better use of available income;
  - (v) to obtain and maintain adequate housing and a suitable living environment;
  - (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
  - (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to –
    - (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
    - (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

[The State will assure that funds are used for eligible activities through the evaluation of Eligible Entities' Community Action Plans, Community Needs Assessments, and through on-site monitoring. These activities are enforced through relevant provisions in the grant agreements between the State and eligible entities.]

### ***Needs of Youth***

**14.1b. 676(b)(1)(B)** Describe how the state will assure “that funds made available through grant or allotment will be used –

- (B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--
  - (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
  - (ii) after-school childcare programs.

[The State will assure that funds are used for eligible activities through the evaluation of Eligible Entities' Community Action Plans, Community Needs Assessments, and through on-site monitoring. These activities are enforced through relevant provisions in the grant agreements between the State and eligible entities.]

### ***Coordination of Other Programs***

**14.1c. 676(b)(1)(C)** Describe how the state will assure “that funds made available through grant or allotment will be used –

- (C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts)

[The State will assure that funds are used for eligible activities through the evaluation of Eligible Entities' Community Action Plans, Community Needs Assessments, and through on-site monitoring. These activities are enforced through relevant provisions in the grant agreements between the State and eligible entities.]

## **State Use of Discretionary Funds**

**14.2. 676(b)(2)** Describe “how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of

how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle.”

**Note:** The State describes this assurance under “State Use of Funds: Remainder/Discretionary,” items 7.9 and 7.10

[No response; links to items 7.9 and 7.10.]

### **Eligible Entity Service Delivery, Coordination, and Innovation**

- 14.3. 676(b)(3)** “Based on information provided by eligible entities in the State, a description of...”

#### ***Eligible Entity Service Delivery System***

- 14.3a. 676(b)(3)(A)** Describe “the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;”

[The State will assure that funds are used for eligible activities through the evaluation of Eligible Entities’ Community Action Plans, Community Needs Assessments, and through on-site monitoring. These activities are enforced through relevant provisions in the grant agreements between the State and eligible entities.]

#### ***Eligible Entity Linkages – Approach to Filling Service Gaps***

- 14.3b. 676(b)(3)(B)** Describe “how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations.”

**Note:** The state describes this assurance in the State Linkages and Communication section, item 9.3b.

[No response; links to 9.3b.]

#### ***Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources***

- 14.3c. 676(b)(3)(C)** Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources.”

**Note:** The state describes this assurance in the State Linkages and Communication section, item 9.7.

[No response; links to 9.7]

***Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility***

**14.3d. 676(b)(3)(D)** Describe “how the local entity will use the funds [made available under 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting.”

**Note:** The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the local level using state remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the state indicates funds allocated for these activities under item 7.9(f).

[The State will assure that funds are used for eligible activities through the evaluation of Eligible Entities’ Community Action Plans, Community Needs Assessments, and through on-site monitoring. These activities are enforced through relevant provisions in the grant agreements between the State and eligible entities.]

**Eligible Entity Emergency Food and Nutrition Services**

**14.4. 676(b)(4)** Describe how the state will assure “that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals.”

[The State will assure that funds are used for eligible activities through the evaluation of Eligible Entities’ Community Action Plans, Community Needs Assessments, and through on-site monitoring. These activities are enforced through relevant provisions in the grant agreements between the State and eligible entities.]

**State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities**

**14.5. 676(b)(5)** Describe how the state will assure “that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act.”

**Note:** The state describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.

[\[No response; links to items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b\]](#)

### **State Coordination/Linkages and Low-income Home Energy Assistance**

- 14.6. 676(b)(6)** Provide “an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low- income home energy assistance) are conducted in such community.”

**Note:** The state describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.

[\[No response; links to 9.2 and 9.5\]](#)

### **Federal Investigations**

- 14.7. 676(b)(7)** Provide “an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D.”

**Note:** The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.

[\[No response; links to 10.13\]](#)

### **Funding Reduction or Termination**

- 14.8. 676(b)(8)** Provide “an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b).”

**Note:** The state addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.

[\[No response; links to 10.7\]](#)

## **Coordination with Faith-based Organizations, Charitable Groups, Community Organizations**

- 14.9. 676(b)(9)** Describe how the state will assure “that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations.”

**Note:** The state describes this assurance in the State Linkages and Communication, item 9.6.

[\[No response; links to 9.6\]](#)

## **Eligible Entity Tripartite Board Representation**

- 14.10. 676(b)(10)** Describe how “the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation.”

**Note:** The state describes this assurance under Eligible Entity Tripartite Boards, item 11.3

[\[No response; links to item 11.3\]](#)

## **Eligible Entity Community Action Plans and Community Needs Assessments**

- 14.11. 676(b)(11)** Provide “an assurance that the State will secure from each eligible entity in the State, as a condition to receipt of funding by the entity through a community services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs.”

[\[No response; links to items 13.5 and 13.6\]](#)

## **State and Eligible Entity Performance Measurement: ROMA or Alternate system**

- 14.12. 676(b)(12)** Provide “an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to section 678E(b), or an alternative system for measuring performance and



results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization.”

**Note:** The state describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.

[\[No response; links to 13.1, 13.2, 13.3, and 13.4\]](#)

#### **Validation for CSBG Eligible Entity Programmatic Narrative Sections**

**14.13. 676(b)(13)** Provide “information describing how the State will carry out the assurances described in this section.”

**Note:** The state provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan, which are included as hyperlinks in section 14.

☒ [By checking this box, the state CSBG authorized official is certifying the assurances set out above.](#)

## SECTION 15

### Federal Certifications

**The box after each certification must be checked by the State CSBG authorized official.**

#### **15.1. Lobbying**

##### ***Certification for Contracts, Grants, Loans, and Cooperative Agreements***

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

##### ***Statement for Loan Guarantees and Loan Insurance***

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

☒ By checking this box, the state CSBG authorized official is providing the certification set out above.

## 15.2. Drug-Free Workplace Requirements

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

### ***Certification Regarding Drug-Free Workplace Requirements*** (Instructions for Certification)

- (1) By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.
- (2) The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.
- (3) For grantees other than individuals, Alternate I applies.
- (4) For grantees who are individuals, Alternate II applies.
- (5) Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.
- (6) Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).
- (7) If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).
- (8) Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

*Controlled substance* means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);

*Conviction* means a finding of guilt (including a plea of nolo contendere) or imposition of

sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;

*Criminal drug statute* means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;

*Employee* means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).

### ***Certification Regarding Drug-Free Workplace Requirements***

#### **Alternate I. (Grantees Other Than Individuals)**

The grantee certifies that it will or will continue to provide a drug-free workplace by:

- (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
- (b) Establishing an ongoing drug-free awareness program to inform employees about - -
  - (1) The dangers of drug abuse in the workplace;
  - (2) The grantee's policy of maintaining a drug-free workplace;
  - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
  - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
- (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
- (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -
  - (1) Abide by the terms of the statement; and
  - (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;
- (e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

- (f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -
- (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code) **[Narrative, 2500 characters]**

☐ Check if there are workplaces on file that are not identified here. Alternate II. (Grantees Who Are Individuals)

- (a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;
- (b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

☒ By checking this box, the state CSBG authorized official is providing the certification set out above.

### 15.3. Debarment

#### ***CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS***

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - - Primary Covered Transactions

##### Instructions for Certification

- (1) By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.
- (2) The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.
- (3) The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.
- (4) The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.
- (5) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.
- (6) The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.
- (7) The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and

Voluntary Exclusive-Lower Tier Covered Transaction,” provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

- (8) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.
- (9) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (10) Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

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***Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -***

**Primary Covered Transactions**

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
  - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;
  - (b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
  - (c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and
  - (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

*Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions*

Instructions for Certification

- (1) By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.
- (2) The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.
- (3) The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.
- (4) The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.
- (5) The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.
- (6) The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.
- (7) A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.



- (8) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.
- (9) Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

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*Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - - Lower Tier Covered Transactions*

- (1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.
- (2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

☒ By checking this box, the state CSBG authorized official is providing the certification set out above.

#### **15.4. Environmental Tobacco Smoke**

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

☒ By checking this box, the state CSBG authorized official is providing the certification set out above.